## **UOB KAY HIAN SECURITIES (M) SDN BHD**



(Registration No. 199001003423 (194990-K)) A Participating Organisation of Bursa Malaysia Securities Berhad

A Trading Participant of Bursa Malaysia Derivatives Berhad

A Registered IUTA and IPRA of Federation of Investment Managers Malaysia

Website : www.utrade.com.my

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1 APPLICANT PARTICULARS							
Name of Applicant ( as per NRIC / Passport )							
Title   Gender   Male   Female   Race   Date of Birth (dd.mm.yyyy)							
New NRIC     -     -     Old NRIC/Authority Card/Passport							
New NRIC     -     -     -     Old NRIC/Autnonty Card/Passport       Correspondence Address as per Registered Address in NRIC(Please tick 🗹)     Race     -							
Correspondence Address if different from Registered Address:							
Postcode							
Is the Above Residence Owned Relatives Rented Others							
Telephone No. (Home)   Country of Phone   Malaysia   US   Others							
Mobile No. Country of Phone Malaysia US Others							
E-mail Address (Compulsory for New Applicant)							
Marital Status Single Married Widowed No. Of dependent(s):							
If married, please complete following details of spouse:							
Spouse Name							
New NRIC   -   -   Old NRIC/Authority Card/Passport							
Important Information as Required Under FATCA/ CRS							
Country of Birth     Malaysia     US     Others (please specify)							
Nationality     Malaysian     US     Others (please specify)							
Are you a Malaysian Resident (For Exchange Control <sup>1</sup> ) <sup>1</sup> For declaration as Malaysia resident I solemnly declare that I shall consent to abide with and be bound by the provision of the Exchange Control Act 1953 and Bank Negara Foreign Exchange Administrative Policy and any amendments from time to time with regards to any transaction or payments to or from my relevant trading account(s). Refer to T&C for further details							
Are you a foreign tax resident?							
If Yes, please specify: Country: Tax Identification No:							
If you are a US Tax Resident and/or US Citizen, please provide us a completed Form W-9 If no TIN available, please tick following:   Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents  Reason B - No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)  Reason C - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN if you have selected this reason: $\Box$ No tax obligation, therefore country does not issue TIN; $\Box$ Retiree, therefore country does not issue TIN; OR  Others: please specify:)							
Do you have any standing instruction for funds transfer to a US Account or account maintained in reportable jurisdiction? (For reportable jurisdiction, Refer to IRB Link: <u>http://www.hasil.gov.my/bt_goindex.php?bt_kump=6&amp;bt_skum=2&amp;bt_posi=1&amp;bt_unit=2&amp;bt_sequ=1</u> ) Yes No							
Do you have any Power of Attorney or Signatory granted to a person in the US or reportable jurisdiction?							

2 DOCUMENTS TO BE SUBMITTED (NON R	ETURNABLE)								
A photocopy of NRIC or Passport	Form B / EA Form / Statement	Payslip / Bank	Form W-8 Ben Form W-9						
Certified copy(s) of your bank statement / front page of your pass book / details of your bank account obtained from your bank's website / copy of the letter from your bank confirming your bank account Other:									
3 SETTLEMENT BANK ACCOUNT PARTICULARS									
Bank Name:	Account No <sup>4</sup> :		Joint Yes No						
All payment payable to you shall be electronically crediting to your above bank account.									
<sup>4</sup> <i>Kindly take note that the bank account must be in my name crediting to your above Account No.</i>	e and this bank must be loo	rated in Malaysia offering MEPS IB	G services as all payment payable to you shall be electronicall						
4 INVESTMENT EXPERIENCE AND OBJEC	TIVES								
Future Trading Experience	None	< 1 year 1-5 years	> 5 years						
Investment Objectives	Investment	Speculation	Hedging Arbitraging						
Risk Tolerance	Aggressive	Moderate	Conservative						
5 FINANCIAL BACKGROUND									
EMPLOYMENT PARTICULARS(For Client with									
Employment Employed Sel	lf-employed	Housewife Retire	e Student Others						
Name of Income Provider									
New NRIC -	-	Old NRIC / Pass	port						
Name of Business/Employer of Client or Income Pr	ovider								
Office Address of Client on Income Dravider									
Office Address of Client or Income Provider									
			Postcode						
Relationship with Income Provider Family M	Members Others, p	lease specify:							
Telephone No. (Office)		Fa	IX No						
Nature of Business									
Designation		Year	r(s) Employment / Business						
Annual Income Range of Applicant/Income Provide	er (Combination of all Se	ource of Income)							
Below ~ RM25,000         RM25,001 ~ RM50,000         RM50,001 ~ RM100,000         RM100,001 ~ RM200,000									
RM200,001 ~ RM300,000 RM300,001 ~ RM400,000 RM400,000 Above ~ RM500,000									
Source of Income/Wealth: Employment Business Investment Inheritance Others									
Do you have commitments with any financial institutions?									
If yes, please state type Overdraft Property Loan Hire Purchase Share Margin Financing Others									
Total commitments (RM)									

6 OTHER PARTICULARS OF APPLICANTS							
a. Do you have Domestic Ringgit Borrowing as defined under BNM FEA rules? (For further details, refer https://www.bnm.gov.my/fep for DRM definition under BNMFEA rules)	s)						
b. Are you related <sup>5</sup> to any staff or Director or Dealer's Representatives of UOE Securities (M) Sdn Bhd ("UOBKH")?	3 Kay Hian Yes, name and relationship No						
<sup>5</sup> related persons means spouse, children, parents, or any accounts where any of the said person(s) has interest and companies in which the staffs, Directors or Dealers' Representative have at least 15% interest							
c. Have you ever opened an account with UOBKH?	Yes No (please state account number and reason for closing of account)						
d. Do you have existing Securities and/or Derivatives Trading Account with UOBKH	Yes, Account No   No						
e. Are you a guarantor for any Trading Account held in UOBKH?	Yes, Account No No						
f. Details of related persons with Trading Accounts maintained with UOBKH	i) Name: None ii) Relationship: iii) Account No:						
g. Would you consent and authorise UOBKH to process any information that you has to UOBKH for the purposes of cross selling, marketing and promotions?	ave provided Yes No						
By choosing yes, you expressly consent and authorize UOBKH to process any information that you have provided to UOBKH for the purposes of cross selling, marketing and promotions including administering offers and competitions, disclosure of information to UOBKH Group, its agent, and/or such persons in accordance with Personal Data Protection Act as UOBKH may deem fit. h. Would you like to appoint and empower your Future Broker Representative (inclusive of Yes No							
Associated FBRs) to manage administrative functions in relation to your trading account(s)? Please be aware of the action of choosing a representative would give rise to risks and legal consequences of which you must be prepared to accept. You SHOULD NOT TICK "YES" if you have not been informed of or do not fully understand the consequences. You are advised to obtain competent legal advice on your rights and obligations and clarify any doubts you may have before naming your representative.							
7 DECLARATIONS AND ACKNOWLEDGEMENT							
I hereby confirm that I am fully aware that the full terms and conditions of this Application Form is located at website of UOB Kay Hian Securities (M) Sdn. Bhd. ("UOBKH") (URL:www.utrade.com.my), of which a physical copy has been handed to me and I confirm that I have read each and every DECLARATION, the RISK DISCLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the UNDERTAKING contained therein, and understand its contents and its implications which have been duly explained to me in detail by the Company. Subject and conditional upon UOBKH approving my Trading Account(s) application, I hereby agree to be bound by them entirely. I am further aware that UOBKH has the sole and absolute discretion to vary, add or remove any of the terms and conditions therein at any time hereafter and it shall be my sole responsibility to keep myself aware of all such changes without the need to be notified and I agree to be bound by all such variations, additions or removal of all such terms and conditions accordingly.							
Signed By:							
×.	×.						
Signature of Applicant	Signature of Witness						
Name:	Name:						
NRIC No:	NRIC No:						
Date:	Date:						

8 TO BE COMPLETED BY FUTURES BROKER'S REPRESENTATIVES						
I) KNOW YOUR CLIENT POLICY						
1. Have you met the Applicant through your personal contact / social networkin	Yes	No				
If no, how have you been acquainted with the Applicant?						
2. Duration of time you have known the Applicant?	Years					
3. Have you had any previous dealings with the Applicant?	Yes	No				
4. Does the Applicant have good financial viability and trustworthiness?	Yes	No				
5. Have you sighted the original NRIC / Passport with the photocopied doo (Individual only)?	Yes	No No				
6. Is the Applicant actively involved in any political activities or politically link	ed?	Yes	No			
Remarks :						
Remarks :						
9 DECLARATION BY FUTURES BROKER'S REPRESENTATIVE						
<ol> <li>Having assessed the Applicant's financial position, experience in trading and investment objectives, I hereby request that the Applicant be allowed to open and operate the trading account with the Company and allow me to act as the Future Broker's Representatives for the said applicant in accordance with the terms and conditions stated herein.</li> <li>I hereby confirm that :         <ul> <li>a) I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Authorisation and Undertaking for Multicurrency Settlement, Risk Disclosure Statement, and the risks and obligations associated with the trading in derivative including foreign derivative trading and the usage of the Company's electronic services (where applicable);and</li> <li>b) to the best of my knowledge and belief, all information given by the Applicant is true and correct and he has not withheld any material facts.</li> <li>I shall keep you fully indemnified against any losses, damages, debts, interest/late payment charges and all other costs and expenses incurred and suffered by you in relation to the trading account of this Applicant.</li> </ul> </li> </ol>						
FOR OFFICE USE ONLY						
AML/ Credit Screening						
AML - Experian AML- World Check One	Client Code :					
	-					
Credit- Experian	FBR Code :					
Checked By : Date :	Online Trading Faci	lity				
Checked by . Date .	Client Code :	-				
Processed By : Date :	User ID :					
Verified By . Date .	FBR Code :		Branch Code	:		

:

Date

Processed By

Remarks :

:

Verified By

**Risk Profiling** 

Credit Risk Profile

AML Risk Profile

Account Approved By

Date

:

Approved Lot Limit (Local Market)

Approved Lot Limit (Foreign Market)

Date

Medium

High

Low

:

:

:

: